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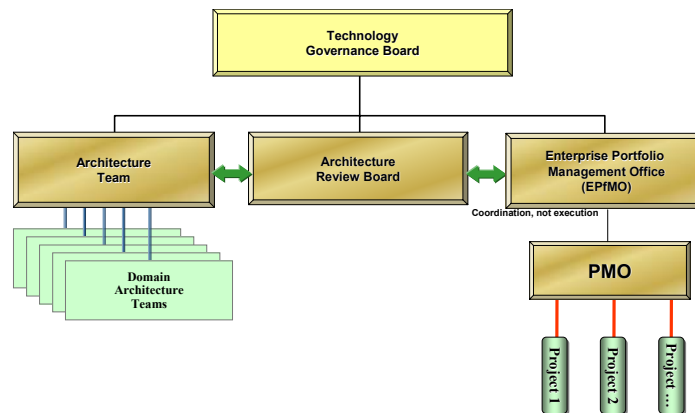
Technology Governance Board

Initiative

Establish charter for A Technology Governance Board (TGB) to evaluate and prioritize statewide IT spending and project requests. There is currently no clear, consistent methodology to evaluate the merits of information technology projects on a statewide basis. We recommend a board with specific statewide authority for all Information Technology initiatives (projects) desired by all Executive Branch Departments and a more formal business case review process and measurements than the current Information Technology Council.

Governance Model

Iowa Technology Governance Model and Key Relationships

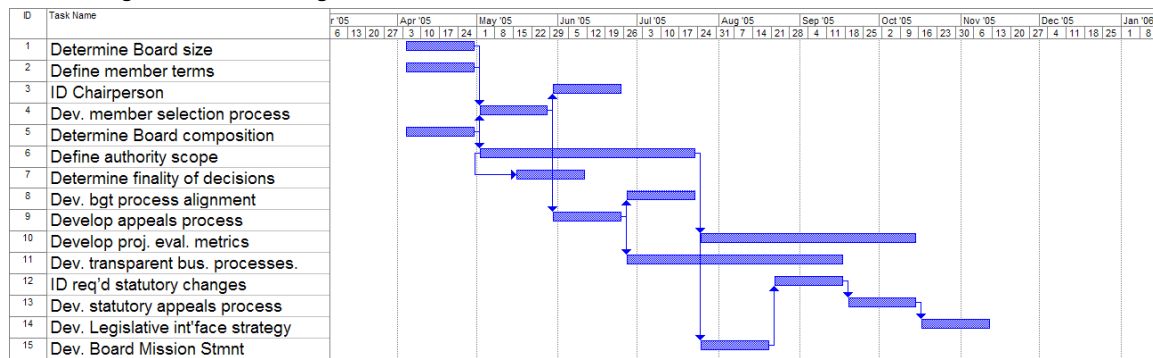


Team Mission Statement

The Technology Governance Implementation & Migration team will provide a design, and an implementation plan for the establishment of the Technology Governance Board for approval by the Governor.

The implementation plan will enable development of a Technology Governance Board that will establish and administer key processes that will evaluate and prioritize statewide IT spending and project requests.

Activity Level Project Timeline



Description of Activities

Objective and roles:

A Technology Governance Board should be established to set policy and strategy, as well as to propose, review, and prioritize the state's technology investments and initiatives.

The Board should be comprised of 15 members. All members will have staggered 5-year terms except for the State CIO, whose term will be indefinite. Members will be chosen as defined below:

- The State's Chief Information Officer
- 3 members from Large state departments
- 3 members from Medium state departments
- 3 members for Small state departments
- 4 members from the private sector; appointed by the Governor; paid positions
- 1 member from the ITTC; elected by the ITTC; paid position

The Board's chairperson should be elected by the board, and chosen from the group of 4 private sector members for a 2-year term

Technology Governance Board Mission Statement

Mission Statement:

The mission of the Technology Governance Board is to set priorities for statewide technology investments and initiatives, and assist the Department of Management and Statewide Chief Information Officer in developing a statewide Information Technology budget reflecting the total Information Technology spend of the Executive Branch departments and agencies resulting in better decision making and financial investment performance reporting to the Executive Branch.

Responsibilities:

The information Technology Governance Board shall be responsible for setting statewide standards and ensuring that all projects adhere to established guidelines and relevant standards. The board shall develop processes which enable identification and tracking of

cross departmental projects to maximize leverage of investments, review current project status through a performance scorecard to determine accomplishment of being on budget, review of project milestones and completion criteria. Lastly the Information Technology Governance Board shall develop and support a statewide, integrated technology investment plan including the oversight, evaluation and termination of projects. This will result in maximized leverage of each technology investments, increased effectiveness and better utilization of scarce technology resources.

Decisions before the Technology Governance Board should be provided in a “Business Case” methodology and be based on factual, financial and fiscal criteria and analysis, including careful consideration of total project lifetime costs and benefits.

1. Determine Board size.	
Description	
Determine how many members will make up the Governance Board.	
Risk	
<enter risk and mitigation here>	
Considerations	
<p>Legislative:</p> <ul style="list-style-type: none"> Probably needs to be spelled out in the bill that creates IT consolidation. <p>Cultural: Considerations include:</p> <ul style="list-style-type: none"> There is no governance group now in IT with real “teeth.” This will be a big change for departments as projects are prioritized and funded. <p>Dependencies on other groups: Dependencies include:</p> <ul style="list-style-type: none"> IT Council (phase out as the governance group is formed?) Project Management Office (where is the dividing line between what is pushed up to the governance group and what is done as a matter of course by the PMO?) Customer Councils (unknown) Architecture Review Board (governance group enforces technology standards what the architecture board designs) <p>Expected Outcome: 15 members.</p> <p>Timeframe: 1 month</p> <p>Cost: ?</p>	

2. Define member terms.	
Description	
Determine how long each member will server on the Governance Board.	
Risk	
<enter risk and mitigation here>	
Considerations	
<p>Legislative:</p> <ul style="list-style-type: none"> Probably need to be spelled out in the bill that creates IT consolidation. <p>Administrative: N/A</p> <p>Cultural: N/A</p> <p>Dependencies on other groups:</p> <ul style="list-style-type: none"> Do the terms for the architecture board and the governance board need to match for some reason? I don't know-just asking. *Coeur Comment: The architecture review board (ARB) members are typically Information Technology leaders. Therefore, the Architecture Review Board members serve at the direction of the Statewide CIO. <p>Expected Outcome: 5-year terms for all members except the CIO. Terms will be staggered.</p> <p>Timeframe: 1 month</p> <p>Cost: none</p>	

3. Identify chairperson.	
Description	
Determine which of the Governance Board members will serve as Chairperson.	
Risk	
<enter risk and mitigation here>	
Considerations	
<p>Legislative:</p> <ul style="list-style-type: none"> Probably need to be spelled out in the bill that creates IT consolidation. <p>Administrative: N/A?</p> <p>Cultural: N/A?</p> <p>Dependencies on other groups:</p> <p><i>Coeur Comment: The Chair Person will coordinate processes required between the Governance board and the Architecture Review Board. The Chair Person will coordinate processes required between the Enterprise Portfolio Management Office for performance measurements (scorecard) and business case methods</i></p> <p>Expected Outcome: Elected by the Board, chosen from the Public-Sector group of members for a 2-year term.</p> <p>Timeframe: 1 month</p> <p>Cost: none</p>	

4. Develop member selection process.	
Description	
Determine how Board members will be selected and by whom.	
Risk	
<enter risk and mitigation here>	
Considerations	
<p>Legislative:</p> <ul style="list-style-type: none"> Probably need to be spelled out in the bill that creates IT consolidation. <p>Expected Outcome:</p> <ul style="list-style-type: none"> CIO is a full-time member. Agency members determined by existing selection process and confirmed by administrative rule. ITTC member chosen by the ITTC. Public-sector members appointed by the Governor. Ex-officio legislative members determined by the legislature. <p>Timeframe: 1 month</p> <p>Cost: none</p>	

5. Determine Board composition; attributes of members.	
Description	
Determine the attributes of the Board members.	
Risk	
<enter risk and mitigation here>	
Considerations	
<p>Legislative:</p> <ul style="list-style-type: none"> Codify Board, Codify selection of Public Sector Members, Determine selection of legislative members. <p>Administrative:</p> <ul style="list-style-type: none"> Establish Admin rules for selection & terms of Agency Members and ITTC Member. <p>Cultural:</p> <ul style="list-style-type: none"> Balance needs of all groups (public, users, customers, etc). <p>Dependencies on other groups:</p> <ul style="list-style-type: none"> Selection of CIO, Public Sector Members, ITTC member, and Agency members. <p>Expected Outcome:</p> <ul style="list-style-type: none"> State CIO 3 Large Agency representatives 3 Medium Agency representatives 3 Small Agency representatives 1 ITTC member (paid position) 4 Public Sector members (paid positions) 2 ex-officio legislative members (non-voting) <p>Composition will adhere to state standards of balancing for gender, etc.</p> <p>Timeframe: 8-10 months</p> <p>Cost: \$50,000 per year</p>	

6. Define the scope of authority for the Board.

Description

- Establish strategic direction for enterprise wide technology standards to be developed through Enterprise Architecture process.
- Advise Enterprise Information Technology Resource (i.e. department and enterprise-wide agency) in the development of strategic vision for use of IT within state government that will enhance accomplishment of state policy goals while leveraging critical human and technology assets.
- Implement effective process for evaluation of all information technology spending requests
- Review all agencies spending for information technology for compliance with enterprise-wide technology standards within parameters established under procedures of Board. Review is intended to result in recommendations on priorities of IT expenditures for state budgetary process including recommendations on funding authorization for each agency's information technology expenditures. *(Note may view following as "excessive" language... Subsequent to funding process completion, it is anticipated that process will encompass review of agency approved spending plan to insure consistency with original recommendations. Approval of critical spending on initiatives is anticipated to be initial focus of review, however, anticipated that as process is incorporated into state budget system that review of operational spending will occur.) Coeur Comment: I believe this is appropriate*
- Develop measurements of "total real IT spend in state government" and foster understanding of technology spending levels versus comparable state and private sector organizations and value of current spending.
- Establish procedures which recognize the unique nature of various funding sources and the requirements of statutory mandates on agency information technology expenditures and provide alternative processes for achieving desired efficiency in use of information technology where justifiable.

Risk

<enter risk and mitigation here>

Considerations

Legislative: Authorization similar to statutory authority provided in Sec 8.A.204 will be required

Administrative: APA rulemaking; Identification of "initial wins" and application of processes would seem to be a key to assuring acceptance and continued Senior Executive support which will be critical

Cultural:

- Recognition of technology gap between agencies and resulting difference in "adaptability" to technology change

- There appears to be a need to identify key “success measurements” and insuring that efforts focus on change that will achieve these benefits in time provided
- Achieving greater understanding in business operations of many organizations that efficiencies to be achieved in the “enterprise’s capability” to deliver technology will ultimately (and rapidly) improve the capability of organization to meet its business objectives
- Spending analysis and other anticipated requirements suggest that introduction of new business justification processes (including those affecting budget process and cycle) and those requiring additional “formality” for some agencies in evaluation and justification of IT expenditures. Recognition of need for formalization of processes and training of management personnel in these steps will be necessary
- Overcoming the historical nature of efforts in this area—can turn this positive to some degree by stressing what has succeeded
- Much more could be added but lets leave the first draft here

Dependencies on other groups: Not clear what other groups are anticipated in answer—i.e. are we considering others of the 8 planning teams or current groups? If the latter then these may include:

- Legislative Process including “independent appropriation process”
- Vendor Community—i.e. their existing/ longstanding strategies for relationship management with agencies
- Existing IT councils including ITTC, ITC and CIO Council
- Labor management relationships
- Other functions within Service Provider model

Approval/Authorization providers with whom agencies have/continue to receive authorization for actions in areas such as security (ex IRS/FBI etc) and funding (ex “federal partner agencies” such as Transportation, Labor, Health and Human Services)

Expected

Outcome:

Timeframe:

3 - 6 months: Initial processes will require substantial effort of initial board but should be possible to complete within 3 to 6 months of creation of Board.

Technical processes including reporting and evaluation techniques may require 6 mo. to 1 year to fully implement depending on budget relationship initially required.

Cost:	tbd
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7. Determine finality of the Board's decisions.											
Description											
<p>The board decisions may be either final determinants of whether an the board may tell an agency that its request is not allowed, or whether the board action is to advise an agency and the and Governor as to whether the action is advisable. Final vs. recommended status may fall into one of four constructs.</p> <table border="1"> <thead> <tr> <th></th> <th><u>Final</u></th> <th><u>Recommended</u></th> </tr> </thead> <tbody> <tr> <td>Budgetary</td> <td>Option 1 (Budgetary, Final)</td> <td>Option 2 (Budgetary, Recommended)</td> </tr> <tr> <td>Standardization</td> <td>Option 3 (Standardization, Final)</td> <td>Option 4 (Standardization, Recommended)</td> </tr> </tbody> </table>				<u>Final</u>	<u>Recommended</u>	Budgetary	Option 1 (Budgetary, Final)	Option 2 (Budgetary, Recommended)	Standardization	Option 3 (Standardization, Final)	Option 4 (Standardization, Recommended)
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Standardization	Option 3 (Standardization, Final)	Option 4 (Standardization, Recommended)									
Risk											
<enter risk and mitigation here>											
Considerations											
<p>Legislative: The level of authority may be established by action of the General Assembly, or perhaps by the Governor, within parameters established by the General Assembly.</p> <p>Administrative: Level of authority may affect the formality of proceedings, and the amount of administrative activity required to prepare documents, present information, and follow the appeals process. Administrative activity might also conflict with the scope of authority for other boards to administer core functions, SPAs, budgets, and objectives in a timely manner.</p> <p>Cultural: N/A</p> <p>Dependencies on other groups: There will be interdependencies with the various state agencies, Department of Management and Office of the Governor.</p>											
Expected Outcome:	<enter outcome here>										
Timeframe:	Unknown										
Cost:	Unknown										

8. Determine level of interaction/alignment with the agency budget process.	
Description	
Determine the process for how technology budgets will be reviewed and approved, and the level of involvement that the Governance Board will have in that process.	
Risk	
<enter risk and mitigation here>	
Considerations	
<p>Legislative: N/A</p> <p>Administrative: Develop forms, procedures, timelines and methods for the submission of IT projects and their associated review. Coordinate with applicable boards & commissions with their timelines for budget approval. Sufficient lead times need to be incorporated.</p> <p>Cultural: Develop and provide training related to the new process.</p> <p>Dependencies on other groups: Dependent upon State agencies to submit accurate documentation/requests timely.</p> <p>Expected Outcome:</p> <ul style="list-style-type: none"> • State agency information technology offers are reviewed for conformance with enterprise standard, duplication and are ranked for funding prioritization. • State agencies include approved information technology projects in their departmental request. <p>Timeframe: Ongoing</p> <p>Cost: n/a</p>	

9. Develop an appeals process for Board decisions.

Description

Develop a process by which decisions made by the Governance can be appealed and reconsidered.

Risk

<enter risk and mitigation here>

Considerations

Legislative:

- Provide code language to create the appeals process designating the Governor as the final decision maker.

Administrative:

- Provide forms, procedures, timelines, and methods for following the appeals process.

Cultural:

- Provide training for how and when the appeals process may be used.

Dependencies on other groups:

- Seek legal advice for language to protect all interests involved in the process.

Expected Outcome:

Appeals to decisions of the Technology Governance Board will be finally arbitrated and resolved by the Governor or his/her designee.

Timeframe:

1 month

Cost:

?

10. Determine performance-based metrics for measuring the project evaluation process.

Description

Coeur Comment: This Team should be focusing on the Key High Level activities for ensuring that performance measurements are later defined by the Governance Board. Definition of linkage between the Enterprise Portfolio Management Office (EPfMO) and the Governance Board should also be addressed during the Implementation of the Governance Board.

Risk

<enter risk and mitigation here>

Considerations

<enter considerations here>

Expected Outcome:

ROI Process should be used to prioritize and evaluate projects. Review and re-working of current ROI process is needed, with emphasis on key elements:

1. Delete Federal and State Mandate requirements of current ROI process (Budget Review through Enterprise Portfolio Management Office(EPfMO) will address this)
2. Emphasize Process Re-engineering and Continuation (Section I- Scope) elements
3. Evaluate Risk
4. Emphasize actual dollars saved (actual ROI)
5. Change “B. Strategic Plan” and combine with “Current Technology paragraph to require agencies to state whether it fits with Iowa Technology Enterprise standards
6. Emphasize Impact to Iowa Citizens and Improvement of Service elements of ROI. (Paragraph E of current ROI process.)
7. Enterprise Investment Governance Board (EIGB) shall review ROI process for recommended changes and shall approve ROI criteria on a 5-year basis- to allow for continuity and familiarity with process over extended period.
8. Omit “Funding Requirements” element of paragraph H. and allow EPfMO to assess funding aspects.
9. Provide for a “post-audit” procedure of agency ROI submissions, including quantifiable measures to determine compliance with information submitted in application.

Consider withhold of partial funding until full compliance.

Timeframe:

18+ months

Cost:

\$0

11. Develop transparent business processes.	
Description	
<p>A key element to any structure that proposes to approve/disprove the allocation of public monies to projects is that there be a well-defined process by which decisions will be made and complete and public transparency of that process and resulting decisions.</p> <p>With regard to the Governance board, the processes by which projects, budgets and other items are submitted and evaluated to the Board must be fully documented and easily available to all internal stakeholders and the public.</p>	
Risk	
<enter risk and mitigation here>	
Considerations	
<p>Legislative: Direct that there shall be complete transparency in process and reporting.</p> <p>Administrative: Direct that there shall be complete transparency in process and reporting.</p> <p>Cultural: Given the high number of stakeholders in government, the processes may become unduly complicated and cumbersome. Emphasis should be given to establishing open accountability and visibility rather than satisfy each and every stakeholder concern.</p> <p>Dependencies on other groups: Dependency on other boards and commissions to provide details of established practices, such as ITC's ROI.</p>	
Expected Outcome:	<p>A Flow Model for processes and responsibilities should be developed and published</p> <p>The ITC ROI model of project evaluation should be assessed and modified to provide the core set of processes and reports for the evaluation of PROJECTS that will be sent to the Governance board. Coeur Comment: The Governance Board should evaluate various models for performance measurements and select one as appropriate to the activities and task required for reporting and monitoring investments.</p>
Timeframe:	3 months
Cost:	?

12. Identify required statutory changes.

Description

Although not required, the overall requirement for the Governance Board may be established in Code. The details relating to the Governance Board (e.g., composition, selection method, terms) should be established in Iowa Administrative Code. If Governance Board is established in Code, appointed members must meet the Iowa Code Chapter 69 requirements for gender balance (69.16A), political affiliation (69.16), and attendance (69.15). Appointed Governance Board members would also need to be in compliance with pertinent requirements of Iowa Code Chapter 68B.

Risk

<enter risk and mitigation here>

Considerations

Legislative: It is not required that the Governance Board be established in Code. Need to determine, if desiring to pay the public members, whether must be authorized in Code. Details regarding the Governance Board are better placed in Iowa Administrative Code.

Administrative: The development and passage of necessary legislation and administrative rules will take staff time and effort.

Cultural: None.

Dependencies on other groups: Legislature to approve any Code or Administrative Rules proposed.

Expected Outcome: <enter outcome here>

Timeframe:

1 month

Cost:

Unknown

13. Develop a statutory appeals process..

Description

Develop the process by which decisions made by the Governance can be appealed and reconsidered.

NOTE from Wes: I believe this initiative has been answered by initiative #9.

Risk

<enter risk and mitigation here>

Considerations

<enter considerations here>

Expected Outcome: <enter outcome here>

Timeframe: <enter timeframe here>

Cost: <enter cost here>

14. Develop Legislative interface strategy.

Description

Develop of a presentation for the Governor's proposal for presentation to Government Oversight, Rules and Administration and State Government committees, as well as the Administration and Regulation appropriations subcommittee. The charge of this committee is to develop that portion of the presentation relative to the composition, authority of and compensation to the Governance Board.

Risk

<enter risk and mitigation here>

Considerations

Legislative: The overarching strategy for interacting with the Legislature regarding the Governance Board must be developed in concert with the balance of the recommendation ultimately made by the Governor. The strategy relative to the Governance Board should include a description of the models that were considered by the committee and examples where the selected model is in place and has been successful (i.e.: customer councils).

Administrative: Coordination between the nine teams, Coeur Group and DAS in the development of the overall proposal presentation materials is necessary.

Cultural: N/A

Dependencies on other groups: Requires the support of all agencies involved when questions arise regarding board composition and authority.

Expected <enter outcome here>

Outcome:

Timeframe: 1 month

Cost: \$0